

4-16-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 005029.P018C

First Named Inventor Hartley et al.

Title: Method and Apparatus for Assessing the Security of a Computer System

Express Mail Label No. EL845313456US

JC921 U.S. PTO

09/834334

04/12/01

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. X **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original, and a duplicate for fee processing)

2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**

3. X **Specification (Total Pages 32)**
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

EXPRESS MAIL CERTIFICATE OF MAILINGExpress Mail and Label number: EL845313456US

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that the paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Date of Deposit

Name of Person Mailing Correspondence

Signature

Date

4. X **Drawings(s) (35 USC 113) (Total Sheets 15)**

5. X **Oath or Declaration (Total Pages 4)**

- a. Newly Executed (Original or Copy)
- b. X Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.

6. **Application Data Sheet. (37 CFR 1.76)**

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
- c. Statement verifying identity of above copies

[illegible]

- 18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

(which is a continuation/ divisional/ CIP of prior application no. ;
which is a continuation/ divisional/ CIP of prior application no.) (List entire chain of priority)

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

18B. Statement under 37 CFR 3.73(b) for continuing application.

The undersigned states that DMW Worldwide, Inc. (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. 010393 Frame No. 0046 (or a copy of which is attached).

Customer Number or Bar Code Label
or
(Insert Customer No. or Attach Bar Code Label here)

NAME Gordon R. Lindeen III

ADDRESS 12400 Wilshire Boulevard

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (303)740-1980 FAX (303)740-6962

Name (PRINT/TYPE) Gordon R. Lindeen III Registration No.: 33,192

Signature: *[Signature]* Date: 4/12/11

FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$710.00

Complete if Known:

Application No. _____

Filing Date Concurrently Herewith

First Named Inventor Hartley et al.

Group Art Unit Not yet assigned

Examiner Name Not yet assigned

Attorney Docket No. 005029.P018C

JP921 U.S. PTO
09/834334
04/12/01

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
Deposit Account Name _____

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☒ Check
☐ Credit Card
☐ Money Order
☐ Other

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FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------------------|----------|
| Code | Fee (\$) | Code | Fee (\$) | | |
| 101 | 710 | 201 | 355 | Utility application filing fee | 710.00 |
| 106 | 320 | 206 | 160 | Design application filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional application filing fee | |

SUBTOTAL (1) \$710.00

2. EXTRA CLAIM FEES

| | | Extra Claims | | Fee from below | | Fee Paid | |
|--------------------|-----------|--------------|----------|----------------|-------|----------|------|
| Total Claims | <u>20</u> | - 20** = | <u>0</u> | X | 18.00 | = | 0.00 |
| Independent Claims | <u>2</u> | - 3** = | <u>0</u> | X | 80.00 | = | 0.00 |
| Multiple Dependent | | | | | | = | |

**Or number previously paid, if greater; For Reissues, see below.

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Code | Fee (\$) | Code | Fee (\$) | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 | |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid | |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent | |

SUBTOTAL (2) \$ 0.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES


| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---------------------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 130 | 123 | 130 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 | 355 | For filing a submission after final rejection (see 37 CFR 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (see 37 CFR 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) _____ | | | | | |
| Other fee (specify) _____ | | | | | |

SUBTOTAL (3) \$0.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Gordon R. Lindeen III

Signature:  Date: 4/12/11

Reg. Number: 33,192 Telephone Number: 303-740-1980

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jc921 U.S. PTO
09/834334
04/12/01

Serial/Patent No.: _____ Filing/Issue Date: Concurrently Herewith
Client: Mindport USA
Title: Method and apparatus for assessing the security of a computer system
BSPZ File No.: 005029.P018C Atty/Secty Initials: GPI/amu
Date Mailed: April 12, 2001 Docket Due Date: _____

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- | | |
|--|--|
| <input type="checkbox"/> Amendment/Response (____ pgs.) | <input checked="" type="checkbox"/> Express Mail No.: <u>EL845313456US</u> Check No. <u>1407</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate) | ____ Month(s) Extension of Time Amt: <u>710.-</u> |
| <input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract) | <input type="checkbox"/> Information Disclosure Statement & PTO-140 (____ pgs.) Check No. _____ |
| <input checked="" type="checkbox"/> Application - Rule 1.53(b) Continuation (<u>32</u> pgs.) | <input type="checkbox"/> Issue Fee Transmittal Amt: _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.) | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.) | <input type="checkbox"/> Petition for Extension of Time |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.) | <input type="checkbox"/> Petition for _____ |
| <input type="checkbox"/> Application - Design (____ pgs.) | <input checked="" type="checkbox"/> Postcard |
| <input type="checkbox"/> Application - PCT (____ pgs.) | <input type="checkbox"/> Power of Attorney (____ pgs.) |
| <input type="checkbox"/> Application - Provisional (____ pgs.) | <input type="checkbox"/> Preliminary Amendment (____ pgs.) |
| <input type="checkbox"/> Assignment and Cover Sheet | <input type="checkbox"/> Reply Brief (____ pgs.) |
| <input checked="" type="checkbox"/> Certificate of Mailing | <input type="checkbox"/> Response to Notice of Missing Parts |
| <input checked="" type="checkbox"/> Declaration & POA (<u>4</u> pgs.) <u>copy</u> | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.) | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate |
| <input checked="" type="checkbox"/> Drawings: <u>15</u> # of sheets includes <u>15</u> figures | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate |

☒ Other: Associate Power of Attorney

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Date of Deposit: April 12, 2001

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April Worley
(Typed or printed name of person mailing paper or fee)

April Worley
(Signature of person mailing paper or fee)

4/12/01
(Date signed)